



RECORDS RETENTION SCHEDULE

BOARD OF NURSING

Schedule Date: March 9, 2006

Prepared by
STATE RECORDS BRANCH
Public Records Division
Kentucky Department for Libraries and Archives



RECORDS RETENTION SCHEDULE

Signature Page

Board of Nursing
Agency

March 9, 2006
Schedule Date

Unit

Change Date

March 9, 2006
Date Approved By Commission

APPROVALS

The undersigned approve of the following Records Retention Schedule or Change:

Debbie A. Beas
Agency Head

March 9, 2006
Date of Approval

Mary Jane Oswald
Agency Records Officer

March 9, 2006
Date of Approval

Richard A. Felder
State Archivist and Records Administrator
Director, Public Records Division

3-9-2006
Date of Approval

[Signature]
Chairman, State Archives and Records Commission

03/09/06
Date of Approval

The undersigned Public Records Division staff have examined the record items and recommend the disposition as shown:

Pamela G. Burris
Records Analyst/Regional Administrator

9 March '06
Date of Approval

Imi Inge
Appraisal Archivist

3/9/06
Date of Approval

[Signature]
State/Local Records Branch Manager

9 Mar 06
Date of Approval

The determination as set forth meets with my approval.

Brian L. [Signature]
Auditor of Public Accounts

3-9-06
Date of Approval

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

Schedule Date: March 09, 2006

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Board of Nursing
Agency Support

Series	Records Title		Contents	Retention		
	and Description	Function and Use		Disposition	Instruction	
00754	Input Audit Report - (Edit and update listing of vital data processing transactions - cards print checklist) (Computer printout) (V)	This series documents a weekly printout of updated nurses' transactions such as reinstatement, change of status, or applications processed, which may result in issuance of a license to practice in Kentucky.	Series contains: date of report; flag; license number; name; social security number; status; alert code; mail	Agency: 3	Records Center:	Archives Center: Destroy after audit
03382	Receipt Book	This series documents a record of payment by nursing applicants for services administrated by the Board. Services may include application fees, such as renewal of license, examination, endorsement, and reinstatement, and registration fees for conferences.	Series contains: date; name/address of payer; amount of payment; purpose of payment; paid by cash, check, or money order; signature of recipient	Agency: 1	Records Center:	Archives Center: Destroy after audit
03383	Daily Receipts List - (Electronic)	This series documents a record of receipts received. Receipts may be received for services performed by the Board, as provided for in 201 KAR 20:240. Services include application fee (renewal application, examination application, endorsement, etc.), conference fees, verification of licensure, copies of scores and transcripts. From this list comes various ad hoc reports by units or categories (i.e. type of fee). It verifies payment of fee and is required for audit purposes. It is input into the IBM-AT/PC and stored in the IBM Series I. The two systems are interfaced.	Series contains: date of payment; name of payer; type of payment; nurse type (code); amount of money; nurse identification number	Agency: 3	Records Center:	Archives Center: Destroy hard copy after audit. Maintain electronic file, updating as changes occur
04648	Committee Report File - (Reports from various working committees)	This series documents issues addressed by committee members and the recommendations made by the committee. The Board members appoint committees to report on certain aspects of the agency. The committees are comprised of some Board members and some employees of the Board of Nursing. These committees meet six times a year, as does the Board, but in opposite months. The committees make recommendations, in the form of a report, to be reviewed by the Board and approved at the next month's Board meeting. These committees are referred to as "working committees." Some of the ad hoc committees that are presently appointed include, "Practice", "Education", and "Study and Planning". There is no limit in the number of committees, and each presents an annual report to the Board at their June meeting (end of fiscal year).	Series may include: documentation of meeting proceedings written in report form. May also contain date of meeting; roster of members attending; beginning and ending time as issues discussed and recommendations made to the Board	Agency: 3	Records Center:	Archives Center: Destroy

STATE AGENCY RECORDS RETENTION SCHEDULE

Board of Nursing
Agency Support

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
04649	Committee Annual Report File - (Annual reports from various working committees)	This series documents the goals and objectives of individual "working" committees, with emphasis on goals that may have been met. Each committee compiles an annual report which summarizes its six meetings throughout the year, and projects goals and objectives for the new fiscal year. These reports are presented to the Board at the June meeting (end of fiscal year). Some of the ad hoc committees presently appointed include, "Practice", "Education", and "Study and Planning."	Series may include: summary of the year's activities; issues discussed; and recommendations made to the Board	Agency: 5	Records Center:	Archives Center:
				Destroy		

STATE AGENCY RECORDS RETENTION SCHEDULE

Board of Nursing
Consumer Protection

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
00793	Investigations Alert Verification Report File - (Identifies status of nurses under investigation and with previous disciplinary action) Closed Date: 2/1/2006	Closed Series: This series documents the identification of nurses who are under investigation and with previous disciplinary actions. It is also used to determine statistics for reporting nurses with investigated practice. The information in this series is contained in Consumer Protection Branch Statistical Rep, Series 00794.	Series contains: names of nurses under investigation; work addresses; disciplinary actions; current investigations; dates	Agency: 2	Records Center:	Archives Center:
				Destroy		
00794	Investigative and Disciplinary Report - (Presented at Board meetings for current investigations, disciplinary action and probationary meetings)	This series documents a report that is presented at Board meetings to inform and provide for decisions of Board members concerning current investigations, disciplinary actions, and probationary meetings of the active or suspended practice of nurses.	Series may contain: date of Board meeting; name of nurses under investigation; license numbers; suspended license numbers; name/address of facilities; disciplinary actions; probationary meetings	Agency: 4	Records Center:	Archives Center:
				Destroy		
00795	Monthly Inter-Office Report - Investigations Closed Date: 2/1/2006	Closed Series: This series documents an inter-office report to the Board of investigations of practicing or suspended nurses concerning current disciplinary actions, decisions appealed, probationary meetings, or hearings. The information in this series is contained in Consumer Protection Branch Statistical Rep, Series 00794.	Series may contain: month; name of nurse; license number; date of incident; complaint; investigative conference/facility; hearing date; case closed; request for reinstatement; information requested; proposed decision; comments	Agency: 4	Records Center:	Archives Center:
				Destroy		
00796	Investigative Folders (C) 201 KAR 20:160 (4) (V)	This series documents information obtained in the process of an investigation of a complaint.	Series contains: complaint; original copy of Board final order concerning disciplinary action; licensure history; summaries of meetings/interviews or onsite investigations conducted during the investigation of a complaint	Agency: 4	Records Center: P	Archives Center:
				Transfer to the State Records Center		
00797	Hearing Transcripts (V)	This series documents the written proceedings of disciplinary hearings of the Board as transcribed by court reporters. It records the actions taken and issues brought before it. The transcripts serve as historical documentation of Board decisions.	Series contains: written transcription of testimony and evidence presented at administrative hearing	Agency: 3	Records Center:	Archives Center: P
				Transfer to the State Archives Center		

STATE AGENCY RECORDS RETENTION SCHEDULE

Board of Nursing
Consumer Protection

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
04248	Attorney's Court Case File - (Working file) (C) KRS 61.878 (1)(h)(i) (V)	This series documents legal actions taken against the Board or by the Board in the state or federal courts and appeals of decisions of the Board after disciplinary hearings. It documents the disciplinary action taken against a licensee due to an initial complaint and investigation. Permanent documentation is retained in relevant court records.	Series contains: court documents, i.e., orders, pleadings, motions, exhibits, court rules; attorney research and relevant correspondence	Agency: 1	Records Center: 8	Archives Center:
				Transfer to the State Records Center after case closure		
05472	Kentucky Alternative Recovery Effort (KARE) Program Participant Folder (C) KRS 61.878(1)(a) (V)	This series documents information obtained in the process of monitoring a licensee/applicant in the Kentucky Alternative Recovery Effort (KARE) program. The purpose of KARE is to identify nurses whose abilities to provide nursing care are compromised by dependency on drugs or alcohol, and to assist these nurses so that they can return to competent and safe practice. The KARE for Nurses Program is a confidential, non-disciplinary, therapeutic monitoring program that offers an opportunity for education, treatment and recovery for the chemically dependent nurse. Participants must meet the eligibility criteria and voluntarily enter into an agreement with the program.	Series contains: Copy of KARE contract with nurse, licensure history, work performance reports, substance abuse meeting reports, UDS's, employer reports, and other monitoring information.	Agency: 2 years	Records Center: P	Archives Center:
				Transfer to Records Center.		

STATE AGENCY RECORDS RETENTION SCHEDULE

Board of Nursing Credentials

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
00746	Master File Folder - Registered Nurse and Licensed Practical Nurse - (Contains original application for licensure, school record, examination scores) (C) 201 KAR 20:070 (V)	This series documents that the requirements for the licensing of registered nurses and practical nurses have been met.	Series contains: application for licensure; school record; examination scores	Agency: 1	Records Center: P	Archives Center:
Transfer to the State Records Center						
03066	Source Document - (For data entry) (C) KRS 61.878 (1)(a) (V)	This series documents the initial data entry of applicants for Kentucky Board of Nursing services. Biographical data from the record is manually entered into the electronic data base. This record is used to begin a file for the applicant and for purpose of investigation by the Consumer Protection Branch.	Series may contain: Date elements include, name, address, SSN, sex, birth date, educational program attended and graduation/completion date, highest level of education obtained, state of original licensure, national certification information, practice designation and specialty area.	Agency: 1	Records Center:	Archives Center:
Destroy						
00752	Reissue of License Request File (C) KRS 61.878(1)(a) - (To change title of series) (V)	This series documents requests for reissuing of a license, registration, and/or credential.	Series contains: Source Document; Name; Date of Birth; Social Security Number; Address; Fee Amount and method of payment; Education; and Employment history	Agency: 3	Records Center:	Archives Center:
Destroy after audit						
00758	Register List - (Examinations/endorsements) - (Original) - (Contains license number, name of licensee at time of original licensure, original license date, how licensed) Closed Date: 2/1/2005 (V)	Closed Series: This series documents a listing of nurses who are licensed to practice in Kentucky. Nurses are licensed either by examination or endorsement. There are separate registers for registered nurses and licensed practical nurses.	Series contains: listing for registered nurse/licensed practical nurse; license number; name of license at time of original licensure; original licensure issuance date; licensure by examination/endorsement; Association of Registered Nurse Practitioners (ARNP) registration/designation	Agency: P	Records Center:	Archives Center:
Retain in agency						

STATE AGENCY RECORDS RETENTION SCHEDULE

Board of Nursing Credentials

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
00759	License Renewal Application File (C) KRS 61.878(1)(a) (V)	This series documents the renewal of licenses registrations, and/or credentials of nurses which expire according to Kentucky Board of Nursing (KBN) regulations. Pursuant to 201 KAR 20:085, license are to be renewed November 1 of each year. It is used to document information regarding criminal history and/or disciplinary information, and ongoing clinical competency validation.	Series contains: renewal application; correspondence; changes in name/address; action against a licensee in another state; criminal history; continuing competency validation	Agency: 2	Records Center: 3	Archives Center:
				Transfer to the State Records Center. Destroy after audit		
00760	Reinstatement Application File - (Registered Nurse, Licensed Practical Nurse) (C) KRS 61.878 (1) (a) (i) (V)	This series documents the applicant's eligibility for reinstatement of a Registered Nurse (RN) license, License Practical Nurse (LPN) license, Advanced Registered Nurse Practitioner (ARNP) registration and/or Sexual Assault Nurse Examiner (SANE) credential. If a nurse fails to renew a license, registration, or credential, it lapses and must be reinstated. This series contains information which re-establishes the applicants's status to an active status and re-establishes the time frame for the renewal of the license, registration, or credential.	Series may contain: Data elements include: application, educational program information, previous and current disciplinary action pending/taken, payment information, and competency requirements.	Agency: 3	Records Center: 2	Archives Center:
				Transfer to the State Records Center. Destroy after audit		
00761	Change of Licensure Status Application File - (Registered Nurse, Licensed Practical Nurse) (C) KRS 61.878 (1)(a) (i) (V)	This series documents the change of licensure status from inactive to active (CA) or from active to inactive (CI). It serves as a tracking measure identifying the status of a nurse. A nurse who holds either an active or inactive nursing license is permitted to be "identified" as a registered nurse or a licensed practical nurse. Information from the series is used when investigations of complaints occur.	Series contains: picture; name; address; name and location of education program; date of graduation; type of license; status of license seeking (active/inactive); previous disciplinary action pending/taken against nursing license; previous criminal history; payment information; social security number; phone number; continuing competency validation	Agency: 3	Records Center:	Archives Center:
				Destroy after audit		
04335	Limited License - Disability File Closed Date: 8/1/1993 (C) KRS 61.878 (1) (a) Health information (V)	Closed Series: This series documented nursing licensees with disabilities that may have limited their respective practice. It was a record of a self-disclosed disability(s) and an agreement between the Board and the licensee regarding the issuance of a limited license. The status code identified the nature of the limited license. With the implementation of the Americans with Disabilities Act (ADA), 201 KAR 20:115, Section 3 (1)(2), which provides the Board with the authority to limit the practice of licensees with disabilities, it was repealed as of August 6, 1993. The retention is based upon the liability created by the statute of limitation.	Series contains: correspondence with licensee, health care professional(s); agreement by licensee and Board president to issue the limited license	Agency: 5	Records Center:	Archives Center:
				Destroy after audit		

STATE AGENCY RECORDS RETENTION SCHEDULE

Board of Nursing Credentials

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
00763	Registration Books - National Council Licensure Examination (NCLEX) for Registered Nurse and Licensed Practical Nurse - (Contains name, examination scores, license number, social security number, date of birth, candidate type and number) Closed Date: 2/1/2005 (C) 201 KAR 20:070 (V)	Closed Series: This series documents a list of all candidates for employment as registered nurses or licensed practical nurses who have completed the National Council Licensure Examination (NCLEX). A passing score on the examination certifies the authority to practice nursing in Kentucky.	Series contains: date; candidate number; last name; first name; middle name; maiden name; social security number; date of birth; candidate type; score; license number	Agency: P	Records Center:	Archives Center:
Retain in agency						
00764	Certified List - Registered Nurse/Licensed Practical Nurse - (From programs in Kentucky with names of graduates who have completed the program and are ready to sit for the NCLEX) (Y) KRS 61.878(1)(a) (V)	This series documents a certified list from all nursing school program with social security number and names of graduates who have successfully completed a program for registered nurse or licensed practical nurse. Individuals listed on this record may be eligible to set for National Certification Licensure Examination (NCLEX) for licensure.	Series contains: nursing school program; date of graduation; signature of head of nursing program; alphabetical list of graduates and their social security numbers	Agency: 5	Records Center:	Archives Center:
Destroy						
00765	Register List - (Examinations/endorsements) - (Duplicate) - (Contains license number, name of licensee at time of original licensure, original licensure date, and how licensed (RN and LPN)) Closed Date: 2/1/2005 (V)	Closed Series: This series documents a duplicate listing of registered nurses and licensed practical nurses who are licensed for employment in Kentucky. It designates licensure by either examination or by endorsement from programs in other states. Registers are separated for both types of nurses.	Series contains: registers; licensure by examination/endorsement; Association for Registered Nurse Practitioners; registration/designation; date of licensure; licensure; name; state	Agency: 2	Records Center:	Archives Center:
Destroy						

STATE AGENCY RECORDS RETENTION SCHEDULE

Board of Nursing Credentials

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
00766	Register List - New Licensees by Examination - (Duplicate - original to Board of Nursing) Closed Date: 2/1/2005	Closed Series: This series documents a list of all new licensees who have been certified by examination, to work as nurses in Kentucky. It is compiled on a monthly basis.	Series contains: licensee date; license number; name	Agency: 2	Records Center:	Archives Center:
				Destroy		
00768	Incomplete Applications for Licensure - (Registered Nurse and Licensed Practical Nurse)	This series documents applications for licensure, registration, and/or credentials that do not contain all regulatory regulatory requirements for licensure.	Series contains: incomplete applications	Agency: 2	Records Center:	Archives Center:
				Destroy		
00783	Registration Book/List - (Advanced Registered Nurse Practitioner) - (Original registration numbers issued) Closed Date: 1/1/1995 (V)	Closed Series: This series documents the issuance of advanced registered nurse practitioner determination to practice in Kentucky. It also records the types of advanced practitioner practice, such as clinical specialist. Since 1995 data has been maintained electronically. Information in this series is found in Master Folder (Advanced Registered Nurse Practitioner--00785).	Series contains: book of original registration numbers issued; name; date issued; types of advanced practice - anesthetist, mid-wives, practitioner, clinical specialist	Agency: P	Records Center:	Archives Center:
				Retain in agency		
00784	Request for Letter of Verification of Advanced Registered Nurse Practitioner Registration in Kentucky Closed Date: 2/1/2005	Closed Series: This series documents the request for verification of current advanced registered nurse practitioner registration when a wallet identification card has been lost, stolen, not received, or destroyed. This series is incorporated into Reissue Request File (00752).	Series contains: type - anesthetist, practitioner, midwife, clinical specialist, combined registration; Kentucky state license number; ARNP number; social security number; registration card lost/stolen/destroyed/never received; name - last/first/middle/maiden; mailing address; name on license; certifying organization; expiration date; details of loss; date; signature; signature of notary public	Agency: 3	Records Center:	Archives Center:
				Destroy after audit		

STATE AGENCY RECORDS RETENTION SCHEDULE

Board of Nursing Credentials

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
00785	Master Folder - Advanced Registered Nurse Practitioner - (May include original application for registration, registration, official verification forms, applications for registration reinstatement, follow up registration information) (C) 201 KAR 20:160 (V)	This series documents the initial registration of each advanced registered nurse practitioner working in Kentucky, as required in 201 KAR 20:056. It verifies dates of graduation, certification expiration, and other official information, should questions arise regarding eligibility requirements. Examination scores are not included.	Series may contain: application for registration as an advanced registered nurse practitioner; application for registration reinstatement; verification of eligibility and application for certification examination; verification of supervision; follow-up registration information	Agency: 1	Records Center: P	Archives Center:
Transfer to the State Records Center						
00786	Renewal Application - Advanced Registered Nurse Practitioner Closed Date: 2/1/2005 (V)	Closed Series: This series documents the application used for renewal of advanced registered nurse practitioner registration, as required in KRS 314.042. Evidence of a certified license to practice is required before renewal. A \$15 renewal fee is forwarded to the Board by each advanced registered nurse practitioner to continue active status.	Series contains: type - anesthetist, midwife, practitioner, clinical specialist; specialty area; certifying organization; date current certification expires; school program; school address; year program completed; current employer; employer address/county; date; signature	Agency: 3	Records Center:	Archives Center:
Destroy after audit						
00787	Verification Report - (Computer accuracy - Advanced Registered Nurse Practitioner) Closed Date: 2/1/2005	Closed Series: This series documents a computer printout/list that is used to verify information for accuracy and to identify credentials for advanced registered nurse practice. It is also used for statistical reports, and attached to the Renewal Application - Advanced Registered Nurse Practitioner (00786).	Series contains: list of verifying information; names of nurse practitioners	Agency: 2	Records Center:	Archives Center:
Destroy						
04976	Master Folder-Sexual Assault Nurse Examiner (C) 201 KAR 20:070; KRS 61.878(1)(a) (V)	This series documents the initial issuance of a Sexual Assault Nurse Examiner (SANE) credential according to regulatory requirements. It allows the SANE to conduct forensic examination of victims of sexual assault offenses under the medical protocol issued by the state medical examiner.	Series contains: application, RN license number, educational program information, continuing competency requirements and other documents as required by regulation	Agency: 1	Records Center: P	Archives Center:
Transfer to the State Records Center						

STATE AGENCY RECORDS RETENTION SCHEDULE

Board of Nursing Credentials

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
04977	Reinstatement Credential File - (Sexual Assault Nurse Examiner) Closed Date: 2/1/2005 (C) 201 KAR 20:070 (V)	Closed Series: This series documents the reinstatement of a lapsed Sexual Assault Nurse Examiner (SANE) credential. When a registered nurse is first issued a SANE credential, the credential number assigned is retained by that nurse for life. To maintain a current, active SANE credential, the nurse is required to renew it biennially. If that is not done, the credential lapses, and the nurse is required to reinstate. It establishes the timeframe for the biennial renewal. The information in this series is incorporated into the Reinstatement File (00760).	Series contains: reinstatement application; certificate of earning continuing education credits; and related correspondence	Agency: 5	Records Center: 5	Archives Center:
				Transfer to the State Records Center. Destroy after audit		
04978	Renewal Application File - (Sexual Assault Nurse Examiner) Closed Date: 2/1/2005 (C) 201 KAR 20:070 (V)	Closed Series: This series documents the renewal of Sexual Assault Nurse Examiner (SANE) credentials. Renewals occur every two years. It relates to the registered nurse license renewal application, as the SANE is issued only if the nurse's license status is current. Information from the series may be used in the investigation of complaints. The series information is incorporated into Renewal Application File(00759).	Series contains: renewal application; certificates of completion of contact hours; and related correspondence	Agency: 2	Records Center: 3	Archives Center:
				Transfer to the State Records Center. Destroy after audit		
04979	Sexual Assault Nurse Examiner Program Documentation File	This series documents the Board's approval of a new Sexual Assault Nurse Examiner (SANE) educational program. The documentation ensures that the program meets regulatory requirements. Programs are approved by the Board for a four-year period. The minutes of Board meetings provide permanent documentation of the approval process.	Series contains: provide name and address; course syllabus; faculty qualifications; name and credentials of the nurse administrator of the program; completion requirements; and related correspondence	Agency: 1	Records Center: 10	Archives Center:
				Transfer to the State Records Center after expiration of program		

STATE AGENCY RECORDS RETENTION SCHEDULE

Board of Nursing
Professional Support

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
04213	Approved Scholarship Application File - (Nursing Incentive Scholarship Fund) (C) KRS 61.878 (1)(a)(i) (V)	This series documents the recipients of the Nursing Incentive Scholarship Fund (NISF) from the initial application through the employment obligations with the sponsoring health care facility. The fund was created to provide a source of financial aid to nursing students in Kentucky. The applicant will complete a Pell Grant application from the Kentucky Higher Education Assistance Authority. Eligibility is based on three preference categories: 1) financial need, 2) becoming a Registered Nurse after completing course work for the Licensed Practical Nurse program, and 3) registered nurses pursuing a higher level of education. The information is input and processed by the NISF Data Base (04215). Applicants are ranked according to the Pell Grant Index Ranking. Board members decide how many scholarships are awarded.	Series contains: application - name, address, social security number, education completed, work experience, current licensure status (if applicable); authorization for release of information; verification of student status; verification of sponsoring facility; financial reports; school transcripts; contract; promissory note; academic progression verifications; employment records; related correspondence	Agency: 1	Records Center:	Archives Center: Destroy three years after the work contract has been satisfied, and audit
04214	Ineligible Scholarship Application File - (Nursing Incentive Scholarship Fund) (C) KRS 61.878 (1)(a)(i)	This series documents the applicants who were denied financial aid or the Nursing Incentive Scholarship Fund (NISF). They did not meet the eligibility requirements to receive scholarship funds. A new application would be required each year that financial aid is available.	Series contains: application - name, address, phone number, social security number, education completed, work experience; current licensure status (if applicable); authorization for release of information; verification of student status; verification of sponsoring health facility; financial reports; school transcript(s); notification letter denying scholarship	Agency: 1	Records Center:	Archives Center: Destroy
04215	Nursing Incentive Scholarship Fund Data Base (NISF) - (Electronic) (C) KRS 61.878 (1)(a) Change Date: 2/7/2005	This system documents and maintains information regarding the status of the Nursing Incentive Scholarship Fund (NISF) and each of the candidates/students that apply for financial aid from the fund. It processes the financial information and costs of administering the program on a quarterly basis, as well as the scholarship funds that are awarded to the applicants. It provides information for the Board concerning the status of an applicant.	See attachment	Agency: 3	Records Center:	Archives Center: Delete three years after the work contract has been satisfied, and audit

STATE AGENCY RECORDS RETENTION SCHEDULE

Board of Nursing Professional Support

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
00770	Report of Program Proposal File - (Contains program proposal, curriculum, and other vital information related to the nursing program) (V)	This series documents the approval of a new nursing program that is to be established within the Commonwealth. The proposal must ensure that the school will meet the required criteria for educating future nurses. An education committee within the Board evaluates all documents (curriculum, faculty, budget/funding) to ensure compliance with state laws and regulations. The Board may continue to monitor the school's progress by noting the percentage of nurses that pass the state boards (examination). It is currently working on a history of the nursing schools in Kentucky. Also, the Board Minutes (M0008) provide permanent documentation and approval of this process. Full approval status is gained after the nursing program graduates its first class. (Licensed Practical Nursing program is one year. Associate Degree of Nursing is a two year program. A Bachelor of Science Degree requires four years of study.) Once a program proposal is completed and approved, there is very little reference to the file.	Series contains: program proposal (staff/student ratio, budget/funding information, location/allocation of space); curriculum; correspondence; certification of faculty	Agency: 1	Records Center: 10	Archives Center:
				Transfer proposal to the State Records Center after program achieves full approval status		
00772	School Visit Report File - (Report of visits to nursing education programs for evaluation to verify that the program meets regulation requirements)	This series documents the reports of visits to nursing education programs by Board representatives to verify that the programs comply with the standards that have been set. In accordance with KRS 314.111 and 201 KAR 20:270, nursing schools must meet the specifications, or be subject to closure. Programs of nursing granted full approval status will be surveyed at least every eight years. Programs with less than an 85% pass-rate will also be surveyed.	Series may include: current status of governing institution; faculty and student records; administrative policies; clerical assistance; course syllabi; physical facilities; library and learning resources; clinical facilities	Agency: 1	Records Center:	Archives Center:
				Retain only current report(s). Destroy when information is updated as a result of a subsequent school visit		
00773	Annual Report from Approved Nursing Programs - (Contains philosophy and purpose of program; organizational chart, date of approval and accreditation; curriculum, facilities utilized in program; student admission, withdrawal, and graduation; and summary of faculty information) (V)	This series documents a comprehensive summary of program information, facilities, and student activities of the past year from approved nursing programs. Faculty report facilities utilized in registered nurse programs and practical nurse programs, and accomplishments to convey the mission of the program. Also reported to the school committee are student admission and graduation figures.	Series may contain: fiscal year reported; name/address of nursing program; name/address of institution granting degree; individual responsible for degree granting; signature of administrator; philosophy/purpose of program; organization chart; date of approval; length of program; accreditation curriculum outline; facilities; student admission; withdrawal; graduation; clinical agencies for nursing education programs; statistics; nursing audits; nursing/staff service; extension programs	Agency: 5	Records Center:	Archives Center:
				Destroy		

STATE AGENCY RECORDS RETENTION SCHEDULE

Board of Nursing
Professional Support

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
00774	Pass Rates - Registered Nurse/Licensed Practical Nurse - (Number of candidates taking, passing, failing, and percentage passing licensure exams for each nursing program)	This series documents the number of candidates who take, pass, and fail licensure examinations, and the percentage of candidates who pass for each nursing program. It has been in existence since the Board began operations.	Series contains: name of nursing program; number of candidates taking; passing; failing; percentage passing examination; number of candidates - other states/countries; pass/fail	Agency: 10	Records Center:	Archives Center:
				Destroy		
00775	Application for Provider Approval File - (May include initial provider approval application, checklist for initial provider approval application, provider fact sheet, provider agreement, sample vitae format - Nurse Administrator and Planner/Consultant) (V)	This series documents that the provider has met Board requirements to present continuing education programming to nurses in the Commonwealth of Kentucky. A licensed nurse in Kentucky must have 30 continuing education units every two years to retain his/her professional license. Under the terms of 201 KAR 20:220, the provider requests an application for approval as a provider and the Board assigns the potential provider a permanent, nontransferable number. The regulation states the necessary standards and requirements to be approved as a provider, and to continue as a provider. Reference to the file after three years may be due to administrative changes in the information, or to complaints or problems regarding the provider. An investigation would follow. The board may deny, revoke, suspend, or probate approval of any provider, continuing education activity, or other approved entity for just cause.	Series contains: initial provider approval application; check-list for initial provider approval application; provider fact sheet; provider agreement; sample vitae format; provider's philosophy and objectives; correspondence	Agency: 1	Records Center:	Archives Center:
				Destroy 5 years after provider non renewal		
00776	Provider Renewal Application File	This series documents the practice of renewal of providership. It documents a provider's activities such as offerings, offering evaluations, and proposed schedules. Providers are approved for a two-year period, then must be re-approved through the renewal process. The file represents that renewal. The initial provider file (00775) is retained until the provider has not renewed providership for five years.	Series may include: application; announcement samples; evaluations; proposed schedules; and correspondence	Agency: 4	Records Center:	Archives Center:
				Destroy after audit		

STATE AGENCY RECORDS RETENTION SCHEDULE

Board of Nursing
Professional Support

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
00777	Refresher Course Approval Application File - (From Provider)	This series documents a provider's application to present refresher courses to nurses. Under the terms of KRS 314.041 and KRS 314.051, nurses are required to continually update their credentials through refresher courses. Approved refresher course means an organized learning experience, designed, planned, and evaluated to meet behavioral objectives designed to update knowledge with current nursing theory and clinical practice. By design, a refresher course consists of didactic and clinical learning experiences which address current professional entry level competencies by licensure category. Beginning in 1987, providers had to apply, and be approved before offering these courses, which is what this file represents. 201 KAR 20:380 mandates that refresher courses be offered and the providers approved. These courses were required initially due to a shortage of nurses. The demand for refresher courses cycle with the need for nurses.	Series may include: name of nurse administrator; instructor qualifications; course syllabus - requirements and prerequisites; fees; objectives; content; time frame; teaching methods; evaluation; instructional materials; completion requirements; course presentation dates; contact hour credit for continuing education; clinical practice ratio; and approval period	Agency: 1	Records Center:	Archives Center:
				Destroy five years after refereshner course is no longer offered		
00779	Individual Request for Review of CE Activity - (May include application for individual reviews)	This series documents the process of applying for approval for specific courses. These would include courses that an individual has taken outside of an approved program. This may include out-of-state courses. The Board requires continuing education hours, and nurses can claim these hours retroactively for thirty (30) days after end of earning period.	Series may include: application; course schedule or syllabus; certificate of attendance	Agency: 6	Records Center:	Archives Center:
				Destroy after audit		
00790	Nomination Form for Nurse Practice Council, Kentucky Board of Nursing	This series documents the form used to nominate new members to the Nurse Practice Council, in the Board.	Series contains: name; Kentucky license number; Association of Registered Nurse Practitioner number; address; county; telephone number; your title; name of organization you represent; address; telephone number; educational preparation for advanced practice, school, address, type of program, length of program, degree/credential received, professional history	Agency: 2	Records Center:	Archives Center:
				Destroy		

STATE AGENCY RECORDS RETENTION SCHEDULE

Board of Nursing Professional Support

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
00791	Application for Renewal of Nurse Midwife Permit	This series documents the original application to the Board to practice nurse midwifery for registered nurses.	Series contains: recent photograph; last name; first name; middle; deadline/filing - Dec. 20; present address; city; state; zip telephone; Kentucky registered nurse number; social security number; date of birth; nurse midwife permit number; basic nursing program name; address; city; state; zip; date completed; midwifery school program; address; supervised clinical practice - yes/no; length of program; degree received; date; program approved by; present employer; date; address; telephone; title of present position; certified - yes/no; date previously; Association of Registered Nurse Practitioner's number; date; signature of applicant	Agency: 3	Records Center:	Archives Center:
				Destroy		
00792	Credentials Report (Report to Board regarding applicants for licensure/registration) Closed Date: 2/1/2006	Closed Series: This series documents the reporting of credentials, such as certified nursing programs, at Board meetings concerning verification of applicants for licensure by endorsement or registration.	Series contains: date of Board meeting; names of applicants; credentials	Agency: 4	Records Center:	Archives Center:
				Destroy		
04398	Continuing Education Audit File (V)	This series documents audits required of the nursing/licensee population to determine compliance with the continuing education requirements for licensure renewal, as provided for in KRS 314.073 and 201 KAR 20:215, Section 3. Audit responses are reviewed for the number of hours, dates of completion and approval source. Audit responses found to be compliant are kept for a minimum of three years following the end of the licensure period. Audit responses found to be deficient are processed through the Consumer Protection Branch through the disciplinary action process. Thirty hours per year will satisfy continuing education requirements.	Series contains: audit letter; certificate of completion; name, address, license number; continuing education courses; continuing education credits; dates of completion	Agency: 1	Records Center:	Archives Center:
				Destroy five years following the end of the audit year in which continuing education credits were earned		

STATE AGENCY RECORDS RETENTION SCHEDULE

Board of Nursing Professional Support

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
05466	Dialysis Technician Training Program-Initial Application File (V)	This series documents a Dialysis Technician training program's eligibility for initial Kentucky Board of Nursing approval as stated in 201 KAR 20.470 and KRS 314.035	Series contains: Name and address of applicant institution; name and title of program administrator; offering dates planned; detailed program documentation; signature of program administrator	Agency: 4 years	Records Center: P	Archives Center:
				Retain in agency for 4 years, transfer to State Records Center		
05458	Nomination Form for Dialysis Technician Advisory Council, Kentucky Board of Nursing (C) KRS 61.878(1)(a)	This series documents the form used to nominate new members to the Dialysis Technician Advisory Council at the Board. The Dialysis Technician Advisory Council is created under the Board of Nursing and advises the Board of Nursing regarding qualifications, standards for training, competency determination of dialysis technicians and all other matters related to dialysis technicians per KRS 314.145 (1). Pursuant to KRS 314.145 (2), the council is appointed by the Board of Nursing and consists of one (1) member of the Board of Nursing who serves as the Chair; three (3) dialysis technicians and three (3) nurses that regularly perform dialysis care for patients who receives dialysis. The Board of Nursing solicits nominations for the council from interested parties and/or organizations. The Board of Nursing specifies the term for the council members and serves at its discretion.	Series contains: Name, Kentucky Nursing License Number and Kentucky Dialysis Technician Credential Number, address, county, telephone number, title, address, employer, and professional history	Agency: 2	Records Center:	Archives Center:
				Destroy		
05459	Prelicensure Nursing Program Nurse Faculty/Clinical Instructor Record (c) KRS 61.878(1)(a) (V)	This series documents nurses who function as nurse faculty or clinical instructors for programs of nursing in Kentucky.	Data elements on this form include: name of program of nursing; type of program; type of appointment; name of appointee; KY RN license number, social security number; appointment date; employment status; initial preparation in nursing; additional education obtained; teaching and clinical responsibilities; other duties; experience in assigned clinical or functional area; experience in the application of principles of teaching and learning; signature of appointee; signature of nurse administrator	Agency: 1	Records Center:	Archives Center:
				Destroy 5 years following termination of employment		

STATE AGENCY RECORDS RETENTION SCHEDULE

Board of Nursing
Professional Support

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
05460	Advisory Opinion Statements Folder (Y)	This series documents the Advisory Opinion Statement (AOS) published by the Board. In 1983, the Kentucky Board of Nursing began publishing advisory opinion statements on various nursing practice issues. These statements are issued as guideposts to licensees who wish to engage in safe nursing practice. When studying practice issues, the Kentucky Board of Nursing reviews and considers applicable standards of practice statements issued by professional nursing organizations; the educational preparation of both Registered Nurses and Licensed Practical Nurses as provided in the prelicensure nursing education programs in Kentucky; and, when applicable, the organized post-basic educational programs for Advanced Registered Nurse Practitioners. Kentucky Board of Nursing also gathers information regarding practice issues from nurses in relevant practice settings, including staff nurses, supervisors, nurse faculty members, and /or representatives from state nursing associations, among others. The Kentucky Board of Nursing reviews applicable opinions issued by the Office of the Attorney General. When multiple inquiries are received on the same practice matter, the Kentucky Board of Nursing publishes an advisory opinion statement for wide dissemination. An opinion statement is an advisory opinion of the Kentucky Board of Nursing as to what constitutes safe nursing practice; it is not a regulation of the Board and therefore does not have the force and effect of law. The opinions are revised frequently as medical knowledge becomes available and retained in agency. Beginning in 2005, two (2) copies of each AOS will be forwarded to Public Records Division when initially issued, revised, and depublished. Depublication occurs when new medical technology and education occurs.	Series contains: advisory opinions on practice manners; initial approval date; revision date(s); depublication date	Agency: P	Records Center:	Archives Center:
05461	Dialysis Technician Credential-Renewal Application (C) KRS 61.878(1)(a) (Y)	This series documents applicant's eligibility for renewal of DT credential as stated in 201 KAR 20:470. A dialysis technician renews every two years from the date of issuance of the credential. This series documents criminal convictions and/or current/pending disciplinary actions, as well as ongoing clinical competency validation.	Series contains: renewal application; biographical data; social security number; date of birth; certificate number; address; criminal convictions and disciplinary information; name and address of employer; signature of applicant; competency validation statement	Agency: 4	Records Center:	Archives Center:

STATE AGENCY RECORDS RETENTION SCHEDULE

Board of Nursing
Professional Support

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
05462	Dialysis Technician Credential-Reinstatement Application File (C) KRS 61.878(1)(a) (Y)	This series documents applicant's eligibility for reinstatement of Dialysis Technician credential as stated in 201 KAR 20:470. IT documents lapsed status of credential and its reinstatement. The Dialysis Technician License Number remains the same for each individual. If credential is not renewed, then credential lapses and must be reinstated.	Series contains: biographical data; name; address; social security number; date of birth; certificate number of applicant; checklish for competency validation form; DT training program education; current employment as DT; disciplinary/criminal convictions history; year credential lapsed; notarized signature of applicant and photograph.	Agency: 4 years	Records Center:	Archives Center:
				Destroy after audit		
05463	Dialysis Technician-Incomplete Applications (C) 61.878(1)(a) (V)	This series contains applications for Dialysis Technician credential that are incomplete and for which credentials were not issued. It also contains applications from ineligible applicants.	Series contains: applications from persons who did not submit all the information required to determine eligibility, or from persons who not eligible. May contain: name; address; social security number; date of birth; educational information; current employment as Dialysis Technician; disciplinary information; criminal convictions; signature and/or photograph	Agency: 3	Records Center:	Archives Center:
				Destroy after audit		
05464	Dialysis Technician Credential Reissue Request Form (C) KRS 61.878(1)(a) (V)	This series documents requests by a Dialysis Technician for issuance of duplicate credentials. If the original credential is lost, destroyed, stolen, or never received the holder can request a reissue. The signature of the requestor is notarized.	Series contains: name, address, social security number, credential number, reason for reissue (lost, stolen, destroyed, never received); notarized signature	Agency: 4 years	Records Center:	Archives Center:
				Destroy after audit		
05465	Dialysis Technician Change of Address Form (C) KRS 61.878(1)(a)	This series documents a change of address for the Dialysis Technician.	Series may contain: Name, address, credential number, social security number, phone number, signature	Agency: 4 years	Records Center:	Archives Center:
				Destroy		

STATE AGENCY RECORDS RETENTION SCHEDULE

Board of Nursing Professional Support

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
05467	Dialysis Technician Training Program- Continued Approval Files (V)	This series documents a Dialysis Technician training program's eligibility for continued approval as stated in 201 KAR 20:470. Programs must apply for continued approval every two (2) years.	Series contains: Name and address of institution; name and address of program administrator; offering plan; detailed program documentation; receipt of fee; and signature of program administrator	Agency: 4 years	Records Center: Destroy after audit	Archives Center:
05468	Dialysis Technician Training Program - Reinstatement Files (V)	This series documents a lapsed Dialysis Technician training program's eligibility for reinstatement of Kentucky Board of Nursing approval as required by 201 KAR 20:470. A program will lapse if it fails to renew on time.	Series contains: Name and address of institution; name and title of program administrator; offering plan; detailed program description; signature of program administrator	Agency: 4 years	Records Center: Destroy after audit	Archives Center:
05469	Dialysis Technician Training Program List of Graduates (C) KRS 61.878(1)(a) (V)	This series documents individuals who complete a Board approved Dialysis Technician training program. List is submitted by each Dialysis Technician training program within three (3) days of graduate completion.	Series contains: Name of Dialysis Technician training program; program code; completion date; number of graduates; names of trainees/graduates; and social security numbers	Agency: 2 years	Records Center: Destroy	Archives Center:
05470	Dialysis Technician Initial Credential Application (C) KRS 61.878(1)(a) (V)	This series documents applicant's eligibility for Dialysis Technician credential as stated in 201 KAR 20:470. Data is entered into the Dialysis Technician electronic database.	Series contains: Name, address, gender; social security number; date of birth; name and address of DT training program completed; month and year of enrollement; month and year of completion; employment information as DT; disciplinary/criminal convictions history; notarized signature; and photograph	Agency: 4 years	Records Center:	Archives Center:
05471	Refresher Course Renewal Application File (V)	This series documents the practice of renewal of providership for refresher courses. It documents a provider's activities such as proposed schedules. Providers are approved for a two (2) year period, then must be reapproved through the renewal process. The file represents that renewal. The initial provider file (00777) is retained until the provider has not offered any courses for five (5) years.	Series may include: Application; announcement samples; evaluations; proposed schedules; and correspondence	Agency: 4	Records Center: Destroy after audit	Archives Center: